RiskVisionNET™

Risk Management Information System

Technical Exhibit

RiskVisionNET System Overview

The COUNTY recognized its need for a consolidated approach to providing a claims administration platform for its third party administrators and for providing a single database to collect accurate data for risk management purposes. The COUNTY has chosen Risk Technologies, Inc. (RTI) to create a new browser-based RMIS that will provide the COUNTY with a technology solution for its claims administrators and in-house users, and to provide a long-term systems partner.

RiskVisionNET Objectives

- To provide claims administration information to the COUNTY's Chief Administrative Office (CAO), COUNTY departments and County Counsel in an efficient and accurate manner
- To simplify and eliminate, wherever possible, the current data conversion process
- To provide real-time access to claims administration information from its third party claims administrators and from County Counsel
- To provide a Windows-based ad hoc report builder/writer to users who require more complex risk management analysis
- To provide meaningful, standard reports to users (including statistical and financial reports) on a monthly basis
- To implement technologically advanced methods consistent with the Chief Information Office (CIO) recommendations for standardization of COUNTY information systems
- To provide portability and scalability of this technology
- To provide cutting-edge technology from the standpoint of the application and platform
- To ensure ease of routine data field customization
- To provide ease of use from the standpoint of claims administration and remote access
- To provide a high level of system security and transactional documentation
- To provide the ability to interface with other word processing and spreadsheet software suites

County of Los Angeles Enterprise Architecture

The County of Los Angeles (COUNTY) has invested significant time and energies constructing an enterprise network that best suits the County's initiatives and future growth. Based on discussions with the County's Internal Services Department (ISD), in order to mitigate security breaches of the enterprise network all hardware for RiskVisionNET will reside within LANet, the COUNTY's Intranet. RiskVisionNET and its associated hardware and software will interface with LANet network resources.

RiskVisionNET Architecture

For the hardware, the configuration that RTI has selected provides for hardware failure and increases the performance by two-fold.

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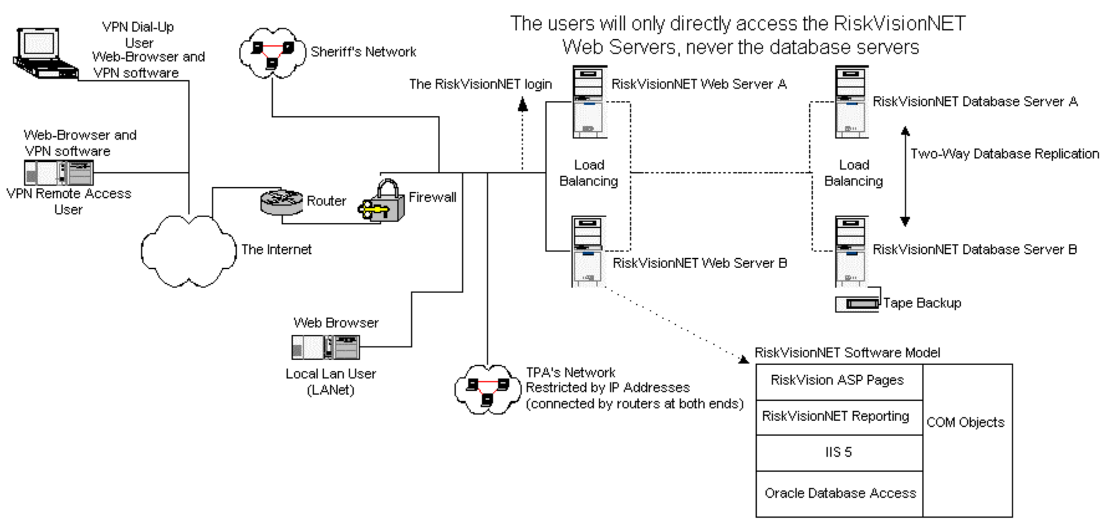
2 Web Servers with Windows 2000 load balancing in a "server farm"
2 Oracle 9i Standard Database Servers with Windows 2000 load balancing and synchronization both ways between the databases

The server farms will accomplish two goals:

- Increased performance. Each machine will take half the load from the other machine.

- Increased uptime. If one machine goes down, the users will never know. The machine that is up will just take more of a load. Once the other machine is fixed, it will resume taking its share of the load again.

Architecture Diagram



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Third Party Administrators RiskVisionNet Server Access

Third Party Administrator (TPA) users will access the RiskVisionNET servers by having a direct connection that goes through direct line that goes "behind" the firewall of LANet. Each TPA needing access will need to provide the COUNTY with their IP addresses and the COUNTY's router will only allow traffic into the COUNTY's network from those approved IP addresses to the RiskVisionNET servers. The TPA will be required to secure at least ½ of a T1 link between the TPA and the COUNTY. The TPA will block traffic from the COUNTY into its own networks.

For support purposes, PC Anywhere v10 or higher will be required to be installed on one of the workstations that has a static IP address.

Minimum Workstation Configurations

Processor: Pentium III 600 MHz
Cache: 1MB L2
Memory: Registered ECC DRAM
  Minimum: 128 MB
  Maximum: 4 GB
Network Controller: 100MHz
Internal Storage: 10 GB minimum with 250 MB free space
Operating System: Windows 98 or Window 2000
Web Browser: Internet Explorer 5.5 or higher, no additional client-side installations, ActiveX components, or plugins are necessary. The browser must have the Internet or local intranet web zone security settings configured as follows:

1. Run ActiveX controls and plugins – set to "Enable" or "Prompt"
2. Script ActiveX controls and plugins marked as safe - set to "Enable" or "Prompt"
3. Cookies: "Allow cookies stored on your computer" set to "enable" if the user wishes to return to the last-set screen in the RiskVisionNET after leaving the RiskVisionNET site to visit another site. Otherwise the user will always have to log back in and manually return to the last used page.
4. Miscellaneous: "Access data sources across domains" set to "Enable" if the user is outside the LANet domain and if the web server and database are on separate servers.

Other Hardware and Software

- Scanner with the compatible scanning software that can output either a PDF or JPEG file formats. Specifications of the scanner will be provided by the COUNTY.
- TROY MICR Secure Printer 2200

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RiskVisionNET System Functionality

The new RMIS is intended to provide several critical services:

- A comprehensive and cutting-edge application for claims administration
- The ability to modify this application to collect data that are meaningful and useful to the COUNTY in its object to measure, monitor and control risk
- The ability to provide a single consolidated incident reporting database to collect information regarding the COUNTY's exposures
- The ability to allow COUNTY departments to enter information into the system in a format that is meaningful to them
- The ability to allow the departments access to the new RMIS to review information
- The ability to track time and hourly rates for County Counsel staff and bill COUNTY departments accordingly
- The ability to review contract law firm staff's billing rates and check them to a set schedule
- The ability to track policy data
- The ability to monitor certain type of assets
- The ability to receive outgoing certificate requests and track incoming certificates
- The ability to produce standard reports and ad hoc reports, either remotely or directly on-line, by authorized users.

RiskVisionNET Interfaces

When the authorized user has completed the login verification, the user may select functions from the main task areas of the RMIS. A user may have access to one or many of the task areas and is dependent on the user's membership to a defined user group. The following list describes each task area.

MyPage. This is the control center for quick saved queries, saved custom reports, diaries, calendar and personal links, for example, Los Angeles County Superior Court. It offers quick lookups on the fields the user group desires, popular and advanced searches, add a file and personalized planner.
Reports. This provides access to personalized report views and report templates (e.g., standard, customized and ad hoc)
Payment Processing. This provides users who are processing payments to add payments quickly without having to go the payments detail tab of the individual file. The application will generate checks and/or payment vouchers. It will also allow a user to review contract law firm's billing rates and compare the billed rates to a set schedule.
Time Entry. This provides the means to collect and document time data on both billable and non-billable basis for each file for each applicable user. It also provides a means to generate invoices to charge back the costs to the appropriate COUNTY department.
Coverage. This provides the ability to view, add and update policy detail data.
Assets. This will allow COUNTY staff to track certain valuable equipment and properties.

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Certificates. This tracks incoming insurance certificates for COUNTY contract administrators. It will also allow the COUNTY to accept request for outgoing certificates from COUNTY staff.
Administration. Users with this access can add, edit and delete users and system and code tables.
Help. This offers assistance, techniques and tips to best utilize the system.

File Definition. Files will be categorized within the COUNTY's RMIS according to the following types:

- Incidents (Type "I")
- Claims (Type "Z")
- Lawsuits (Type "D")
- Expedited Claims (Type "E")
- Other (Type "X") These files include Probates and Legal Matters, but may include files not categorized above.

File Searching. File searches may be done using any of the following approaches:

- **Quick Searches.** The user may enter complete or partially complete values for file subject's name, file number, and/or accident date. The returned data set will reflect the quantity of records conforming to the entered values.
- **Popular Searches.** The user may select any of the pre-defined search queries by choosing its plain-language description.
- **Advanced Searches.** The user may construct a query by choosing up to five fields and choosing qualitatively evaluated conditions for the data in those fields.

Result Datasets. The datasets resulting from any search will appear in a grid. All records returned in the interface will allow navigation. You may view the primary defining details of each record, sort and re-group the records, and apply filtering to further narrow a subsequently returned dataset from that group. From this grid, any file may be opened for detailed inspection.

Incident Detail Interface. After performing a search the user may view the file details if the user's profile contains viewing rights. The file details will contain the following selectable sections, each with the respective functionality:

- **Summary Information.** This section will display the file subject's personal data, and the information regarding the actions pending, the status and the disposition of the file. If there are existing claims, they may be found through a search and then linked, or if already linked, then viewed from this page.
- **Accident Information.** This section will detail the information about the accident and/or injury. The section will include entries for Public Risk Database Project (PRDP) classification and for compilation of trend data.
- **Report View.** This section will display the incident data in the format of the specific report form, which was used to report the incident.

Linking Incident Reports. Incident reports may be linked to a file from the file details interface, and existing files may be linked to an incident report from the incident details interface.

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File Detail Interface. After performing a search the user may view the file details, if the user's profile contains viewing rights. The file details will contain the following selectable sections, each with the respective functionality:

- **File Summary Information.** This section will display the file subject's personal data, and the information regarding the actions pending, the status and the disposition of the file.
- **Accident Information.** This section will detail the information about the accident and/or injury. The section will include entries for PRDP classification and for compilation of trend data.
- **Legal Information.** For those files that have been assigned a legal status such as lawsuit, probate, or a pending legal matter, if court activity is anticipated, then this section will record and display the information on the developing legal action. Two levels of details will be available as assigned by the user group permissions. One will be a view–only summary of the case status and the case details as the case progresses through the schedule. The other will be a need-to-know-based display of case planning, strategy, and coordination to be used by the legal team on their defense of the COUNTY's position. The CAO and the Auditor-Controller will have access to all legal data. An overview of the schedule of certain legal activities will also be provided using a trial calendar.
- **Financial Overview.** The Financial overview will provide summary information on the paid, pending, reserves, and total incurred arising from the claim process. The assignment of departmental funding and the management of that fund's allocation to this claim will appear in this section.
- **Payments.** A listing of all payment details authorized under this claim will appear in this section. Payments may be added.
- **Reserves.** The allocation of incurred obligation to this claim may be set, apportioned to categories of use, and cumulatively managed within this section. Reserve worksheets are provided as a tool in setting reserves.
- **Notes.** Dated notes may be attached to this file to be part of the files record. All notes for this file may be viewed. The notepad contains a spelling checker. Notes will be assigned both a duration type and a purpose type to assist grouped retrievals.
- **Diaries.** Coordinated actions for this file may be administered in this section. The user will select a type of diary and a recipient to channel the diary and establish its persistence. Diaries received from other agencies collaborating on this file will be reviewed here by the recipient.
- **Contacts.** A listing of contact information applicable to the progress and disposition of this file will be viewed and managed in this section. New contacts may be added and existing contact information may be edited.
- **Linked Files.** Linking of multiple files stemming from the same or related occurrence will be viewed and managed in this section. The application will allow the user to designate a file as the master file and link multiple related files from the same occurrence to the designated master file. The application will also allow the user to designate a file as primary and link associated files from ancillary occurrences to the designated primary file.

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File Editing. For those users with edit rights as part of their user profile, the above sections of the file details interface will offer an UPDATE button to collect the changes that are made to the data of that page.

File Creation and Status Changes. Files and incident reports are created and assigned status in separate interfaces.

- Incident reports are created in the specific format required by the submitting organization or department.
- Other files (claims, lawsuits, and other types) originate by either a notification to the Board of Supervisors or certain designated departments and County Counsel.
- An expedited claim file such as critical clinical events and incidents identified for accelerated claims settlements can be created by:
    - Third Party Administrators. These files will be assigned a file number by the system. The Board of Supervisors will then assign its number when the verified claim form is received.
    - Adjusting departments for claims that are adjusted and settled by themselves. These files will begin a file number by the system. The Board of Supervisors will then assign its number upon receipt of the hard copy claim form from the adjusting department or upon request by the adjusting department.

RiskVisionNET Screen Layouts

See attached exhibits.